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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TECH CENTER 1600/29

Application of: Pramod K. Srivastava

Serial No.: 09/873,403

Group Art Unit: To be assigned

Filed: June 4, 2001

Examiner: To be assigned

For: COMPLEXES OF ALPHA (2)-
MACROGLOBULIN AND ANTIGENIC
MOLECULES FOR IMMUNOTHERAPY

Attorney Docket No.: 8449-178

9
K
8-29-02

REQUEST TO CORRECT INVENTORSHIP UNDER 37 C.F.R. § 1.48(a)

Assistant Commissioner for Patents
Washington, D.C. 20231

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Sir:

In accordance with Rule 48(a) of the Rules of Practice, Applicants respectfully request correction of inventorship to include Robert J. Binder as applicant/inventor in the subject application under 37 C.F.R. § 1.48(a). The omission of Robert J. Binder, which occurred during the initial filing of the application, arose inadvertently and without deceptive intent.

Applicants submit concurrently herewith: (a) a new Declaration for Nonprovisional Patent Application executed by the inventors Pramod K. Srivastava and Robert J. Binder; (b) a Power of Attorney executed on behalf of University of Connecticut Health Center; (c) the Inventor's Statement Pursuant to 37 C.F.R. § 1.48(a)(1); and (d) the Written Consent of the Assignee For Correction Of Inventorship. An Assignment executed by Robert J. Binder, assigning all rights to University of Connecticut Health Center, is being submitted under separate cover.

Applicants respectfully urge consideration of this request to include Robert J. Binder in the subject application in view of the above-mentioned documents. Enclosed are copies of previously submitted and accepted documents including a copy of the executed assignment recorded in the U.S. Patent and Trademark Office which establishes University of Connecticut Health Center as assignee of record of the subject application.

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Upon grant of this request, Applicants respectfully request that an amended filing receipt be issued in connection with the above-identified patent application listing Pramod K. Srivastava and Robert J. Binder as inventors of the disclosed subject matter.

It is estimated that a Processing Fee of \$130.00 pursuant to 37 C.F.R. § 1.17(i) is due. Please charge the required fee to Pennie & Edmonds LLP. Deposit Account No. 16-1150. A copy of this document is enclosed.

Respectfully submitted,

Date: August 13, 2002

Adriane M. Antler 32,605
Adriane M. Antler (Reg. No.)

By:

Eileen E. Falvey 46,097
Eileen E. Falvey (Reg. No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Enclosures



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**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71**

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Assistant Commissioner for Patents
Washington, D.C. 20231

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Sir:

The undersigned assignee of the entire right, title and interest in, to and under the invention described and claimed in the above-identified subject application hereby revokes all previous powers of attorney and appoints: Berj A. Terzian (Reg. No. 20060), David Weild, III (Reg. No. 21094), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Samuel B. Abrams (Reg. No. 30605), Steven I. Wallach (Reg. No. 35402), Marcia H. Sundeen (Reg. No. 30893), Paul J. Zegger (Reg. No. 33821), Edmond R. Bannon (Reg. No. 32110), Bruce J. Barker (Reg. No. 33291), Adriane M. Antler (Reg. No. 32605), Thomas G. Rowan (Reg. No. 34419), James G. Markey (Reg. No. 31636), Thomas D. Kohler (Reg. No. 32797), Scott D. Stimpson (Reg. No. 33607), Gary S. Williams (Reg. No. 31066), Ann L. Gisolfi (Reg. No. 31956), Todd A. Wagner (Reg. No. 35399), Scott B. Familant (Reg. No. 35514), Kelly D. Talcott (Reg. No. 39582), Francis D. Cerrito (Reg. No. 38100), Anthony M. Insogna (Reg. No. 35203), Brian M. Rothery (Reg. No. 35340), Brian D. Siff (Reg. No. 35679), Michael J. Lyons (Reg. No. 37386), Garland T. Stephens (Reg. No. 37242),

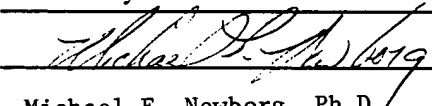
William J. Sipio (Reg. No. 34514), Nikolaos C. George (Reg. No. 39201), Stephen S. Rabinowitz (Reg. No. 40286), Ognjan V. Shentov (Reg. No. 38051), and Kenneth L. Stein (Reg. No. 38704), all of Pennie & Edmonds LLP, whose addresses are 1155 Avenue of the Americas, New York, New York 10036, 1667 K Street N.W., Washington, DC 20006 and 3300 Hillview Avenue, Palo Alto, CA 94304, all of Pennie & Edmonds LLP (PTO Customer No.), as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71, provided that, if any one of these attorneys ceases being affiliated with the law firm of Pennie & Edmonds LLP as partner, counsel, or employee, then the appointment of that attorney and all powers derived therefrom shall terminate on the date such attorney ceases being so affiliated.

Please direct all correspondence for this application to customer no. 20583.

Statement Under 37 C.F.R. 3.73(b)

I am the Assignee of record of the entire interest in the patent application identified above by virtue of an assignment from the inventors of the patent application identified above. A copy of the above-mentioned assignment is attached.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

ASSIGNEE:	<u>University of Connecticut Health Center</u>
Signature:	<u></u>
Typed Name:	<u>Michael F. Newborg, Ph.D.</u>
Position/Title:	<u>Executive Director</u>
Address:	<u>263 Farmington Avenue</u>
	<u>Dowling North-2</u>
	<u>Farmington, CT 06030</u>
Date:	<u>7/11/02</u>



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Application of: Pramod K. Srivastava

Serial No.: 09/873,403

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MACROGLOBULIN AND ANTIGENIC
MOLECULES FOR IMMUNOTHERAPY

Attorney Docket No.: 8449-178

CONSENT BY ASSIGNEE TO CORRECTION OF
INVENTORSHIP UNDER 37 C.F.R. 1.48(a)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

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The University of Connecticut Health Center, an institution of higher education, having an address at 263 Farmington Avenue, Farmington, Connecticut 06030-5355, and owner of the entire right, title and interest in, to and under the invention and U.S. patent application Serial No. 09/873,403, filed June 4, 2001, entitled "Alpha (2) Macroglobulin Receptor as a Heat Shock Protein Receptor and Uses Thereof" hereby consents to amendment of Application Serial No. 09/873,403 to name PRAMOD K. SRIVASTAVA and ROBERT J. BINDER as actual inventors.

The University of Connecticut Health Center certifies that it is the assignee of the entire right, title and interest in, to and under U.S. patent application Serial No. 09/873,403, pursuant to an assignment executed by Pramod K. Srivastava, the presently named inventor of Application Serial No. 09/873,403, filed June 4, 2001, which was recorded on September 25, 2001 at Reel 012227, Frame 0394, in the Assignment Division of the U.S. Patent and Trademark Office. A copy of that Assignment, together with the Notice of Recordation of Assignment Document issued by the Office, is attached hereto as Exhibit A.

The undersigned has reviewed all of the documents in the chain of title of Application Serial No. 09/873,403, and, to the best of undersigned's knowledge and belief, title is in University of Connecticut Health Center.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

UNIVERSITY OF CONNECTICUT HEALTH
CENTER

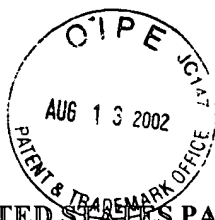
Date: 7/11/02

By:



Name: Michael F. Newborg, Ph.D.

Title: Executive Director



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

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STATEMENT BY THE INVENTOR TO BE ADDED
PURSUANT TO 37 C.F.R. §1.48 (a)

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Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I, Robert J. Binder, have reviewed and understand the content of the Request to Correct Inventorship Under 37 C.F.R. §1.48(a) submitted concurrently herewith to amend the above-identified application to correctly name Pramod K. Srivastava and myself as co-inventors of the above-identified patent application. I hereby state that my name was inadvertently omitted as a co-inventor, and there was no deceptive intention on my part in the omission of my name as a co-inventor.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further that I make these statements with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

7/15/02
Date

Robert J. Binder
Robert J. Binder



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DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION*

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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. beneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

ALPHA (2) MACROGLOBULIN RECEPTOR AS A HEAT SHOCK PROTEIN RECEPTOR AND USES THEREOF

and for which a patent application:

☐ is attached hereto and includes amendment(s) filed on (if applicable)

☒ was filed in the United States on **June 4, 2001** as Application No. **09/873,403**

with amendment(s) filed on **September 25, 2001** (if applicable)

☐ was filed as PCT international Application No. on and was amended under PCT Article 19 on (if applicable)

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I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.



PROVISIONAL APPLICATION NUMBER	FILING DATE
60/209,266	June 2, 2000

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED
09/625,139	July 25, 2000			X

* for use only when the application is assigned to a company, partnership or other organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	LAST NAME Srivastava	FIRST NAME Pramod	MIDDLE NAME K.
	RESIDENCE & CITIZENSHIP	CITY Avon	STATE OR FOREIGN COUNTRY Connecticut	COUNTRY OF CITIZENSHIP India
	POST OFFICE ADDRESS	STREET 70 Pheasant Run	CITY Avon	STATE OR COUNTRY Connecticut
			ZIP CODE 06001	
		SIGNATURE OF INVENTOR 201 		DATE 7/15/02
202	FULL NAME OF INVENTOR	LAST NAME Binder	FIRST NAME Robert	MIDDLE NAME J.
	RESIDENCE & CITIZENSHIP	CITY Farmington	STATE OR FOREIGN COUNTRY Connecticut	COUNTRY OF CITIZENSHIP Ghana
	POST OFFICE ADDRESS	STREET 16 Lakeshore Drive, Apt. A1	CITY Farmington	STATE OR COUNTRY Connecticut
			ZIP CODE 06032	
		SIGNATURE OF INVENTOR 202 		DATE 7/15/02
203	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY
			ZIP CODE	
		SIGNATURE OF INVENTOR 203		DATE
204	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY
			ZIP CODE	
		SIGNATURE OF INVENTOR 204		DATE
205	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY
			ZIP CODE	
		SIGNATURE OF INVENTOR 205		DATE